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09/723,960	11/28/2000	John Edward Cronin	IPCG-043	8198
7590 02/11/2005			EXAMINER	
Attention: Aliki K. Collins, Ph.D. IPCapitalGroup, Inc. 400 Cornerstone Drive, Suite 325			DODDS, HAROLD E	
			ART UNIT	PAPER NUMBER
Williston, VT 05495		2167		

DATE MAILED: 02/11/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.	Applicant(s)			
	09/723,960	CRONIN ET AL.			
Office Action Summary	Examiner	Art Unit			
	Harold E. Dodds, Jr.	2167			
The MAILING DATE of this communication app Period for Reply		orrespondence address			
A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION. - Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication. - If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely. - If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication. - Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).					
Status					
1)⊠ Responsive to communication(s) filed on 20 September 2004.					
<u> </u>	action is non-final.				
Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under <i>Ex parte Quayle</i> , 1935 C.D. 11, 453 O.G. 213.					
Disposition of Claims					
 4) Claim(s) 1-97 is/are pending in the application. 4a) Of the above claim(s) 1-49 is/are withdrawn from consideration. 5) Claim(s) is/are allowed. 6) Claim(s) 50-97 is/are rejected. 7) Claim(s) 52-54,56,65,67,77,79,90 and 92 is/are objected to. 8) Claim(s) are subject to restriction and/or election requirement. 					
Application Papers					
9) The specification is objected to by the Examine 10) The drawing(s) filed on is/are: a) accomplished any accomplished any objection to the Replacement drawing sheet(s) including the correct and the oath or declaration is objected to by the Examine	epted or b) objected to by the Edrawing(s) be held in abeyance. See ion is required if the drawing(s) is obj	e 37 CFR 1.85(a). ected to. See 37 CFR 1.121(d).			
Priority under 35 U.S.C. § 119					
 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f). a) All b) Some * c) None of: 1. Certified copies of the priority documents have been received. 2. Certified copies of the priority documents have been received in Application No 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)). * See the attached detailed Office action for a list of the certified copies not received. 					
Attachment(s) 1) Notice of References Cited (PTO-892) 2) Notice of Draftsperson's Patent Drawing Review (PTO-948) 3) Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date	4) Interview Summary Paper No(s)/Mail Da 5) Notice of Informal Pa 6) Other:				

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DETAILED ACTION

Continued Examination Under 37 CFR 1.114

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 20 September 2004 has been entered.

Claim Objections

2. Claim 56 is objected to because of the following informalities: This claim is dependent on claim 54. According to related dependent claims in the Application, this claim should probably be dependent on claim 55. Appropriate correction is required.

Claim Rejections - 35 USC § 112

- 3. The following is a quotation of the second paragraph of 35 U.S.C. 112:

 The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.
- 4. Claims 52-54, 65, 67, 77, 79, 90, and 92 are rejected under 35
 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. The Specification on page 8 identifies a HLA framework as a high level of abstraction framework. For example, claim 52 on lines 1 and 2 states "steps of forming a plurality of HLA clusters". Nowhere in the claim is the term "HLA clusters" defined. "These claims

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could be more distinctly defined by using "high level of abstraction" in the first dependent claim containing HLA in each of the dependent claims sets.

Claim Rejections - 35 USC § 103

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

- 6. Claims 50, 51, 55-57, 63, 64, 68-70, 75, 76, 80-82, 87-89, and 93-95 are rejected under 35 U.S.C. 103(a) as being unpatentable over Dunworth et al. (U.S. Patent No. 5,930,474) Liddy et al. (U.S. Patent No. 5,873,056).
- 7. Dunworth renders obvious independent claim 50 as follows: "...developing a set of search arguments relating to one or more interests of a user..." at col. 13, lines 32-34, col. 2, lines 54-58, and col. 9, lines 13-17.

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"...developing a set of user-defined fields relating to said one or more interests..." at col. 13, lines 32-34, col. 24, lines 66-67, col. 35, line 1, and col. 9, lines 13-17.

- "...said set of user-defined fields being distinct from said set of search arguments..." at col. 24, lines 66-67, col. 25, line 1, col. 25, lines 53-57, and col. 2, lines 54-58.
- "...searching the first database using at least some of said set of search arguments..." at col. 10, lines 44-51 and col. 2, lines 54-58.
- "...so as to retrieve a plurality of retrieved documents from among the plurality of documents..." at col. 17, lines 53-57.
- "...reading each of said plurality of retrieved documents..." at col. 13, lines 43-45 and col. 17, lines 53-57.
- "...from each of said plurality of retrieved documents..." at col. 17, lines 53-57.
- "...a user-defined field value for at least one user-defined field of said set of user-defined fields..." at col. 24, lines 66-67, col. 25, line 1, and col. 19, lines 61-63.
- "...so as to obtain a plurality of user-defined field values..." at col. 13, lines 43-45, col. 24, lines 66-67, col. 25, line 1, and col. 19, lines 61-63.
- "...entering said plurality of user-defined value..." at col. 5, lines 22-24, col. 24, lines 66-67, col. 25, line 1, and col. 19, lines 61-63.
- "...into a second database..." at col. 10, lines 44-51.
- "...and entering the ones of the plurality of search field values..." at col. 5, lines 22-24, col. 18, lines 63-65, and col. 19, lines 61-63.
- "...corresponding to said plurality of retrieved documents into said second database..." at col. 17, lines 53-57 and col. 10, lines 44-51.

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Dunworth does not teach the extracting of information.

8. However, Liddy teaches the extracting of information as follows:

"...so as to extract..." at col. 1, lines 16-21.

"...extracted..." at col. 1, lines 16-21.

It would have been obvious to one of ordinary skill at the time of the invention to combine Liddy with Dunworth to provide extraction of information from documents in order to provide textual information for the development of new documents and the modification of existing documents. Dunworth and Liddy teach the use of related systems. They teach the use of computers, the use of databases, the use of networks, the use of documents, the use of fields, the use of values, the use of information, the searching for information, and the retrieval of information. Dunworth provides for the search and retrieval of documents from databases, the use of fields for data, the use of values and Liddy provides for extraction of information. For independent claim 50, the terms "generate", "search criteria", and "different" have been used to suggest the terms "develop", "search arguments", and "distinct", respectively.

9. As per independent claims 63, 75, and 87, the "...receiving a set of search arguments relating to one or more interests of a user...," is taught by Dunworth at col. 13, lines 43-45, col. 2, lines 54-58, and col. 9, lines 13-17, the "...receiving a set of user-defined fields relating to said one or more interests..." is taught by Dunworth at col. 13, lines 43-45, col. 24, lines 66-67, col. 35, line 1, and col. 9, lines 13-17,

the "...said set of user-defined fields being distinct from said set of search arguments...," is taught by Dunworth at col. 24, lines 66-67, col. 25, line 1, col. 25, lines 53-57, and col. 2, lines 54-58,

the "...searching the first database using at least some of said set of search arguments...," is taught by Dunworth at col. 10, lines 44-51 and col. 2, lines 54-58, the "...so as to retrieve a plurality of retrieved documents from the plurality of documents...," is taught by Dunworth at col. 17, lines 53-57,

the "...receiving, for each of said plurality of retrieved documents...," is taught by Dunworth at col. 13, lines 43-45 and col. 17, lines 53-57,

the "...user-defined field value for at least one user-defined field of said set of user-defined fields...," is taught by Dunworth at col. 24, lines 66-67, col. 25, line 1, and col. 19, lines 61-63,

the "...so as to receive a plurality of user-defined field values...," is taught by Dunworth at col. 13, lines 43-45, col. 24, lines 66-67, col. 25, line 1, and col. 19, lines 61-63, the "...said plurality of user-defined field values...," is taught by Dunworth at col. 24, lines 66-67, col. 25, line 1, and col. 19, lines 61-63,

the "...having been extracted...," is taught by Liddy at col. 1, lines 16-21, the "...from said plurality of retrieved documents...," is taught by Dunworth at col. 17, lines 53-57,

the "...entering said plurality of user-defined values received...," is taught by Dunworth at col. 24, lines 66-67, col. 25, line 1, col. 19, lines 61-63, and col. 13, lines 43-45, the "...into a second database...," is taught by Dunworth at col. 10, lines 44-51,

the "...entering the plurality of search field values...," is taught by Dunworth at col. 5, lines 22-24 and col. 18, lines 63-65,

and the "...into said second database...," is taught by Dunworth at col. 10, lines 44-51.

10. As per claims 51, 64, 76, and 89, the "...step of filtering said plurality of retrieved documents...," is taught by Liddy at col. 10, lines 9-14,

the "...based on at least some of said set of search arguments...," is taught by dunworth at col. 2, lines 54-58,

the "...so as to obtain a refined set of documents...," is taught by Liddy at col. 8, lines 54-60 and col. 10, lines 9-14,

and the "...being performed relative to said refined set of documents...," is taught by Liddy at col. 3, lines 51-54 and col. 8, lines 54-60. For claims 51, 64, 76, and 89, the term "done" is used to suggest the term "performed".

11. As per claims 55, 68, 80, and 93, the "...step of associating, for each of said plurality of retrieved documents...," is taught by Dunworth at col. 8, lines 44-48 and col. 17, lines 53-57,

the "...weight...," is taught by Liddy at col. 5, lines 10-11,

and the "...with each of at least some of said plurality of user-defined fields...," is taught by Dunworth at col. 24, lines 66-67 and col. 25, line 1.

12. As per claims 56, 69, 81, and 94, the "...step of entering said weights...," is taught by Liddy at col. 9, lines 20-26 and col. 5, lines 10-11 and the "...into said second database...," is taught by Dunworth at at col. 10, lines 44-51.

13. As per claims 57, 70, 82, and 95, the "...step of tallying said weights...," is taught by Liddy at col. 9, lines 20-26 and col. 5, lines 10-11 and the "...for each of said plurality of retrieved documents...," is taught by Dunworth at col. 17, lines 53-57.

For claims 57, 70, 82, and 93, the term "sum" is used to suggest the term "tally".

- 14. As per claim 88, the "...said second database is contained in said computer...," is taught by Dunworth at col. 18, lines 55-59.
- 15. Claims 52-54, 65-67, 77-79, and 90-92 are rejected under 35
 U.S.C. 103(a) as being unpatentable over Dunworth and Liddy as applied to the claims above, and further in view of Chen et al. (U.S. Patent No. 6,728,752).

As per claims 52, 65, 77, and 90, the "... and assigning each of said plurality of retrieved documents...," is taught by Dunworth at col. 6, lines 1-4 and col. 17, lines 53-57,

but the "...steps of forming a plurality of HLA clusters..."

and the "...to one of said plurality of HLA clusters..." are not taught by either Dunworth or Liddy.

However, Chen teaches the use of high level abstraction clusters as follows:

"The "Clustering Report" 2410 contains the most characteristic keywords 2412 across all documents for the user cluster. This enables quick access to a high level abstraction of this modality while simultaneously viewing other properties..." at col. 30, lines 13-17.

It would have been obvious to one of ordinary skill at the time of the invention to combine Chen with Dunworth and Liddy to provide high level abstraction clusters in

order to provide simultaneous viewing of this representation of the cluster of documents with other properties of the documents and obtain greater user acceptance of the system. Dunworth, Liddy, and Chen teach the use of related systems. They teach the use of computers, the use of databases, the use of networks, the use of documents, the use of fields, the use of values, the use of information, the searching for information, and the retrieval of information and Liddy and Chen teach the use of clusters. Dunworth provides for the search and retrieval of documents from databases, the use of fields for data, the use of values, Liddy provides for extraction of information, and Chen provides high level abstraction clusters. In claims 52, 65, 77, and 90, the term "distribute" is used to suggest the term "assign".

- 16. As per claims 53, 66, 78, and 91,each of said plurality of HLA clusters...," is taught by Chen at col. 30, lines 13-17,
- the "...has a corresponding cluster identifier...," is taught by Chen at col. 36, lines 41-45,
- the "...and the method further comprises the step of entering into said second database for each of said plurality of retrieved documents...," is taught by Dunworth at col. 10, lines 44-51 and col. 17, lines 53-57,
- and the "...one of said cluster identifiers...," is taught by Chen at col. 36, lines 41-45.
- 17. As per claims 54, 67, 79, and 92, the "...step of forming a plurality of HLA clusters...," is taught by Chen at col. 19, lines 41-45 and col. 30, lines 13-17 and the "...includes filling out an HLA framework form...," is taught by Chen at col.16, lines 29-32 and col. 7, lines 27-29.

For claims 54, 67, 79, and 92, the term "specification" is used to suggest the term "form".

18. Claims 58, 60-62, 71-74, 83-86, 96, and 97 are rejected under 35 U.S.C. 103(a) as being unpatentable over Dunworth and Liddy as applied to the claims above, and further in view of Bollay (U.S. Patent No. 6,457,009).

As per claim 58, the "...includes the step of at least partially populating a first input form...," is not taught by either Dunworth or Liddy.

However, Bollay teaches the use of partial population and the use of input forms as follows:

"Local browser software populates a specific search form peculiar to a given remote database by utilizing the translations as embodied in JavaScript code..." at col. 2, lines 51-54.

"...It will be understood by those skilled in the art that a blank, or partially blank, FORM may be displayed; that is, a form that does not set forth field names of the fields that a user must fill in..." at col. 5, lines 21-24.

"...The software displays 302 an HTML data input form in a first window of an Internet browser..." at col. 5, lines 43-45.

It would have been obvious to one of ordinary skill at the time of the invention to combine Bollay with Dunworth and Liddy to provide partially populated input forms in order to provide input forms with known parameters already in the forms to reduce the amount of user input required, minimize the amount of errors made in the input, and save the users data entry time. Dunworth, Liddy, and Bollay teach the use of related systems. They teach the use of computers, the use of databases, the use of documents, the use of fields, the use of values, the use of information, the searching for

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information, and the retrieval of information. Dunworth provides for the search and retrieval of documents from databases, the use of fields for data, the use of values, Liddy provides for extraction of information, and Bollay provides partially populated input forms.

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- 19. As per claim 60, the "...step of at least partially populating a second input form...," is taught by Bollay at col. 2, lines 51-54, col. 5, lines 21-24, and col. 5, lines 43-45.
- 20. As per claim 61, the "...at least partially populating said second input form...," is taught by Bollay at col. 2, lines 51-54, col. 5, lines 21-24, and col. 5, lines 43-45,

the "...includes populating said second input form...," is taught by Bollay at col. 2, lines 51-54 and col. 5, lines 43-45,

the "...with answers to questions...," is taught by Liddy at col. 1, lines 16-21, and the "...relating to a business of the user...," is taught by Dunworth at col. 9, lines 59-67.

- 21. As per claim 62, the "...assigning weights to at least some of said answers...," is taught by Liddy at col. 6, lines 6-7, col. 5, lines 10-11, and col. 1, lines 16-21.
- 22. As per claims 71, 83, and 96, the "...of presenting the user with a first input form...," is taught by Bollay at col. 5, lines 21-24 and col. 5, lines 43-45 and the "...for developing said set of search arguments...," is taught by Dunworth at col. 13, lines 32-34 and col. 2, lines 54-58.

- 23. As per claims 72, 84, and 97, the "... of presenting the user with a second input form...," is taught by Bollay col. 5, lines 21-24 and col. 5, lines 43-45 and the "... for developing said set of user-defined fields...," is taught by Dunworth at col. 13, lines 32-34 and col. 24, lines 66-67, and col. 25, line 1.
- 24. As per claims 73 and 85, the "...receiving via said second input form...," is taught by Bollay at col. 8, lines 4-5 and col. 5, lines 43-45, the "...answers a plurality of questions...," is taught by Liddy at col. 1, lines 16-21, and the "...relating to a business of the user...," is taught by Dunworth at col. 9, lines 59-67.
- 25. As per claim 74 and 86, the "...receiving via said second input form...," is taught by Bollay at col. 8, lines 4-5 and col. 5, lines 43-45 and the "...weights for at least some of said answers...," is taught by Liddy at col. 5, lines 10-11 and col. 1, lines 16-21.
- 26. Claim 59 is rejected under 35 U.S.C. 103(a) as being unpatentable over Dunworth, Liddy, and Bollay as applied to the claims above, and further in view of Chen.

As per claim 59, the "...step of at least partially populating said first input form...," is taught by Bollay at col. 2, lines 51-54, col. 5, lines 21-24, and col. 5, lines 43-45, the "...comprises populating said first input form...," is taught by Bollay at col. 2, lines 51-54 and col. 5, lines 43-45,

but the "...with known documents already known to the user...," is not taught by either Dunworth, Liddy, or Bollay.

However, Chen teaches the use of known documents as follows:

"...It should be observed that in a presently preferred embodiment of the invention, the collection 120 comprises all known documents that will ever by processed by a system according to the invention..." at col. 10, lines 21-24.

It would have been obvious to one of ordinary skill at the time of the invention to combine Chen with Dunworth, Liddy, and Bollay to populate input forms with known document numbers in order to provide input forms with known documents already in the database to reduce the amount of user input required, minimize the amount of errors made in the input, and save the users data entry time. Dunworth, Liddy, Bollay, and Chen teach the use of related systems. They teach the use of computers, the use of databases, the use of documents, the use of fields, the use of values, the use of information, the searching for information, and the retrieval of information and Dunworth, Liddy, and Chen teach the use of nerworks. Dunworth provides for the search and retrieval of documents from databases, the use of fields for data, the use of values, Liddy provides for extraction of information, Bollay provides partially populated input forms, and Chen provides known document numbers as input to the population of forms.

Response to Arguments

- 27. Applicants' arguments with respect to claims 50-97 have been considered but are most in view of the new ground(s) of rejection. In the first argument on page 11, paragraph 4, page 12, paragraph 1, and page 13, paragraph 1, the Applicants state:
- "Neither the Brady et al. patent nor the Rivette et al. patent, nor any combination of the two, disclose or suggest at least the following limitations of new claims 50-97:
- developing, receiving or providing computer instructions for a set of search arguments and searching a first database using at least some of these search arguments (the

Brady et al. document retrieval is based on automatic Web crawling, i.e., no search arguments are used) [claims 50, 63, 75, 87]:

- entering, or providing computer instructions for entering, the ones of the plurality of search field values corresponding to the plurality of retrieved documents into a second database [claims 50, 63, 75, 87];
- filtering, or providing computer instructions for filtering, retrieved documents retrieved using some of the search arguments by using others of the search arguments [claims 51, 64, 76, 89];
- forming, or providing computer instructions for receiving, a plurality of HLA clusters (high level abstraction clusters) and assigning each of the retrieved documents to one of the HLA clusters [claims 52, 65, 77, 90];
- entering, or providing computer instructions for entering, cluster identifiers into the second database [claims 53, 66, 78, 91];
- filling out, presenting, or providing computer instructions for presenting, an HLA framework form [claims 54, 67, 79, 92];
- associating weights with, receiving, or providing computer instructions for receiving, weights for user-defined fields [claims 55, 68, 80, 93];
- entering, or providing computer instructions for entering, weights into the second database [claims 56, 69, 81, 94];
- tallying, or providing computer instructions for tallying, the weights [claims 57, 70, 82, 95];
- developing a set of search arguments by filling out a first input form or presenting, or providing computer instructions for presenting, a first input form for developing a set of search arguments [claims 58, 71, 83, 96]:
- developing a set of search arguments by populating a first input form with documents already known to a user (claim 59];
- developing a set of user-defined fields by filling out a second input form or presenting, or providing computer instructions for presenting, a second input form for developing a set of user-defined fields [claims 60, 72, 84, 97];
- developing a set of user-defined fields by populating a second input form with answers to questions relating to a business of a user or receiving, or providing computer instructions for receiving, via a second input form answers to a plurality of questions relating to a business of the user [claims 61, 73, 85]; and
- assigning weights to answers provided in a second input form or receiving, or providing computer instructions for receiving, weights corresponding to answers via a second input form [claims 62, 74, 86]."

The Examiner disagrees. The Applicants have cancelled their first set of claims and have substituted a second set of claims. This office action provides a 35 U.S.C. 103(a) rejecting using references from Dunworth and Liddy for claims 50, 51, 55-57, 63, 64, 68-

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70, 75, 76, 80-82, 87-89, and 93-95. The remaining claims are rendered obvious by Dunworth and Liddy by adding references from Chen and Bollay.

Conclusion

28. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

29. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Harold E. Dodds, Jr. whose telephone number is (571)-272-4110. The examiner can normally be reached on Monday - Friday 8:00 - 4:30.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John E. Breene can be reached on (571)-272-4107. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Harold E. Dodds, Jr. Patent Examiner

Harle E. Dodder, Q.

February 9, 2005